

STATE OF COLORADO

DEPARTMENT OF MILITARY & VETERANS AFFAIRS

PERFORMANCE MANAGEMENT AND EVALUATION PLAN

for

(Employee Name)

FY **2008-2009**

DMVA MISSION STATEMENT:

Provide day-to-day command and control, guidance, policies, and administrative and logistics support to the Divisions of the National Guard, Veterans Affairs and Civil Air Patrol. By statute, that support includes safekeeping and management of military real estate, veterans cemetery, equipment, facilities and buildings; publishing necessary regulations, orders and reports; maintaining records; and hiring personnel to carry out those missions.

PERFORMANCE MANAGEMENT AND EVALUATION SIGNATURE SHEET

DEMOGRAPHIC DATA:

Employee: _____	Location: _____
Class Title: _____	Position Number: _____
Work Unit: _____	Supervisor: _____
Appraisal Period: _____	Division: _____

Performance Planning Section

Established with Employee input on _____

(Date)

Supervisor Signature: _____

Employee Signature: _____ I ☐ Agree ☐ Disagree with the Plan.

COPY MUST BE PROVIDED TO EMPLOYEE AT TIME OF SIGNING. Copy of this signed sheet to DMVA Human Resources Office by April 30.

Coaching and Feedback Section

	Mandatory	Optional	Optional
Coaching and Feedback session conducted on _____	_____ (October)	_____ (Date)	_____ (Date)
Supervisor Initials _____	_____	_____	_____
Employee Initials _____	_____	_____	_____

Copy of this signed sheet to DMVA Human Resources Office at conclusion of each Coaching & Feedback session.

Final Evaluation Section

Final Evaluation completed with Employee input on _____
(Date)

Eligible and recommended for:

- ☐ Level 1 (Complete mandatory corrective action, review with Employee, and attach to this form.)
☐ Level 2
☐ Level 3 (Level 3 Recommendation Section must be completed)

Supervisor Signature _____

Employee Signature _____ I ☐ Did ☐ Did Not receive a copy of the Dispute Resolution Process.

Reviewer Signature _____

COPY MUST BE PROVIDED TO EMPLOYEE AT TIME OF SIGNING. Original final evaluation to DMVA Human Resources Office by April 30.

This section to be completed by Management Review Committee for Level 3 Recommendation:

☐ REQUEST APPROVED ☐ REQUEST DENIED

Management Review Committee Chair Signature: _____

Date: _____

PERFORMANCE MANAGEMENT AND EVALUATION ANNUAL RATING SUMMARY FORM

This section completed at final evaluation

CORE COMPETENCIES RATINGS: Number Ratings "Met" _____ Number Ratings "Needs Improvement" _____
(Combined total of "Met" and "Needs Improvement" cannot exceed 21 points)

If there are two (2) or more "Needs Improvement" core competency ratings, Employee is not eligible for a Level 3 Recommendation. If there are four (4) or more "Needs Improvement" core competency ratings, Employee is not eligible for any performance award and overall evaluation rating will revert to a Level I, despite Factor/Task rating.

SUPERVISORY RATING: Met ☐ Did Not Meet ☐

If "did not meet," Employee is not eligible for a achievement pay or for a Level 3 Recommendation.

FINAL RATING FOR JOB SPECIFIC TECHNICAL COMPETENCE:

Factor/Task 1 Points	X	Percent of Accomplishment	%	=	Final Points
Factor/Task 2 Points	X	Percent of Accomplishment	%	=	Final Points
Factor/Task 3 Points	X	Percent of Accomplishment	%	=	Final Points
Factor/Task 4 Points	X	Percent of Accomplishment	%	=	Final Points
Factor/Task 5 Points	X	Percent of Accomplishment	%	=	Final Points
Factor/Task 6 Points	X	Percent of Accomplishment	%	=	Final Points
Factor/Task 7 Points	X	Percent of Accomplishment	%	=	Final Points
Factor/Task 8 Points	X	Percent of Accomplishment	%	=	Final Points

Overall Final Factor/Task Technical Points _____ = _____ (May not exceed 100)

Total Points Level Equivalent:

Level 1 = Below 68: Complete mandatory corrective action and have HR review; review with Employee; and attach to this form.

Level 2 = 68-100: Must receive at least 85% in order to be recommended for a Level 3 rating.

Level 3 Recommendation: Complete mandatory Level 3 Recommendation Section on this form. To

PERFORMANCE STRENGTH & ACHIEVEMENT COMMENTS: (Optional: This section can be used to set forth accomplishments, other than those in the Factors and/or Competency sections, where an employee has performed outside the bounds of their job description in a positive way, yet not at a Level 3.)

Use additional sheets of paper if necessary or continue on back side of this sheet.

PERFORMANCE GROWTH COMMENTS: (Optional: This section can be used to set forth areas where an employee may want to focus their learning, to document specific areas of improvement, or to identify and place emphasis on areas that will enable an employee to train for higher level positions, etc.)

Use additional sheets of paper if necessary or continue on back side of this sheet.

Performance award adjustments are based on criteria set forth in the State of Colorado compensation policies and the DMVA Performance Management and Evaluation Program. After receiving the final executed evaluation form with the Rater and Reviewer's rating/recommendations, DMVA's Human Resource Office will calculate the dollar amount for which each Employee may be eligible based on the Employee's Performance Evaluation (i.e. Level 1, 2, or 3) and based on each Employee's salary relative to the "Maximum" for her/his classification.

STATEWIDE CORE COMPETENCIES

Employees are evaluated on each of the core competencies listed below. A competency is a measurable pattern of skills, knowledge, abilities, behaviors and other characteristics that an individual needs to perform work roles or occupational functions successfully. These competencies are mandatory and universal across the State system.

Instructions: At the time of evaluation, check appropriate rating scale indicating whether the competency factor was “met” or “needs improvement” during the rating period. **Two or more core competency factors rated as “Needs Improvement” will preclude the Employee from receiving a recommendation for a Level 3. Four or more core competency factors rated as “Needs Improvement” will preclude an employee from receiving any performance award and overall rating will automatically revert to a Level I, despite technical factor ratings.**

RATING SCALE:

Needs

Improvement

Met

COMPETENCY:

Communication: The Employee effectively communicates by actively listening and sharing relevant information with co-workers, supervisor(s) and customers so as to anticipate problems and ensure the effectiveness of the Department of Military & Veterans Affairs.

The Employee has demonstrated ability to:

- | | Needs Improvement | Met |
|--|--------------------------|--------------------------|
| • Communicate respectfully with others | <input type="checkbox"/> | <input type="checkbox"/> |
| • Maintain confidentiality | <input type="checkbox"/> | <input type="checkbox"/> |
| • Respond in a prompt and courteous manner to requests and inquiries | <input type="checkbox"/> | <input type="checkbox"/> |

Comments:

Interpersonal Skills: The Employee interacts effectively with others to establish and maintain smooth working relations. The Employee develops and maintains smooth working relations by successfully interacting with others around him/her. The Employee gains confidence and trust, considers and responds tactfully to the needs of others, takes personal responsibility for own words and actions.

The Employee has demonstrated ability to:

- | | Needs Improvement | Met |
|---|--------------------------|--------------------------|
| • Treat others with respect | <input type="checkbox"/> | <input type="checkbox"/> |
| • Treat others fairly and without prejudice or bias | <input type="checkbox"/> | <input type="checkbox"/> |
| • Be depended upon by peers | <input type="checkbox"/> | <input type="checkbox"/> |
| • Promote cooperation and teamwork | <input type="checkbox"/> | <input type="checkbox"/> |
| • Build trust and work with integrity | <input type="checkbox"/> | <input type="checkbox"/> |

Comments:

RATING SCALE:

Needs

Improvement

Met

COMPETENCY:

Customer Service: The Employee demonstrates responsible personal and professional conduct, which contribute to the overall goals and objectives of the Department of Military & Veterans Affairs, and works effectively with internal/external customers to satisfy service expectations.

The Employee has demonstrated ability to:

- Treat customers with respect and courtesy
- Provide consistent, quality service to all customers
- Offer appropriate and innovative solutions to customer problems
- Meet customer expectations in a timely manner

Comments:

Accountability: The Employee's work behaviors demonstrate responsible personal and professional conduct, which contribute to the overall goals and objectives of the Department of Military & Veterans Affairs.

The Employee takes initiative to improve professional growth and development to improve the functioning of the Department; and has a strong work ethic that relates to accomplishing DMVA goals and mission.

The Employee has demonstrated ability to:

- Provide consistent, timely, high quality work
- Complete work by established time lines or in advance of deadlines
- Maintain confidentiality with sensitive information
- Adhere to established work schedule
- Seek new and/or additional training opportunities to obtain mastery over tasks
- Display a high degree of honesty/integrity

Comments:

Job Knowledge: The Employee is skilled in job-specific knowledge which is necessary to provide the appropriate quantity and quality of work in a timely and efficient manner. The Employee utilizes and upgrades knowledge of the skills that make him/her an asset to the Department of Military & Veterans Affairs.

The Employee has demonstrated ability to:

- Remain current on professional/technical knowledge and/or licensing
- Show professional/personal pride in her/his work
- Instill confidence in recipients of service regarding his/her area of expertise

Comments:

JOB SPECIFIC TECHNICAL FACTORS, TASKS, AND RATING GENERAL INFORMATION

A "Job Specific Technical Factor" is a specific statement that describes a desired behavior or result from an employee. A "Task" is a measurable pattern of skills, knowledge, abilities, behaviors and other characteristics that an individual needs to perform work roles or occupational functions successfully. Enter as many factors/tasks as will adequately reflect the expected outcomes. Factors/Tasks should be measurable and based upon the PDQ, a special project the employee is expected to accomplish in the coming year, on a specific core competency in which the supervisor wishes to emphasize, and/or on specific areas of performance.

During the planning phase, each factor/task must be assigned a weight in the form of points. A supervisor will place the greatest level of points on those areas where the highest level of attention and importance is required. The total of all points combined must equal 100. These points may be adjusted at the mid-year coaching and feedback session as needed due to changes in business plans, changes in staffing resources, changes in employee circumstances (i.e. FMLA absence), etc.

During the appraisal phase, each factor/task is assigned a percentage value between one (1) and one-hundred (100). This percentage value will represent the percent of accomplishment the employee made in achieving the factor/task. Rating an employee a percent value between one (1) and sixty-seven (67) signifies a rating where an employee is not performing at expectation consistently for that factor/task. A percent value between sixty-eight (68) and one-hundred (100) signifies a rating where an employee is performing to expectation and may exceed expectations. The three rating scales are described as follows:

Level 3 (Overall score of 85 and no more than one "Needs Improvement" Core Competency rating, in addition to meeting standards described on page 11)

This rating represents consistently exceptional and documented performance or consistently superior achievement beyond the regular assignment. Employees make exceptional contribution(s) that have a significant and positive impact on the performance of the unit or the organization and may materially advance the mission of the organization. The Employee provides a model for excellence and helps others to do their jobs better. Peers, immediate supervision, higher-level management and others can readily recognize such a level of performance.

Level 2 (Overall score of 68-100 and three or less "Needs Improvement" Core Competency ratings)

This rating level encompasses a range of expected performance. It includes Employees who are successfully developing in the job, Employees who exhibit competency in work behaviors, skills, and assignments, and accomplished performers who consistently exhibit the desired competencies effectively and independently. These Employees are meeting all the expectations, standards, requirements, and objectives on their performance plan and, on occasion, exceed them. This is the Employee who reliably performs the job assigned and may even have a documented impact beyond the regular assignments and performance objectives that directly supports the mission of the organization.

Level 1 (Overall score of 1-67 OR more than three "Needs Improvement" Core Competency ratings)

This rating level encompasses those Employees whose performance does not consistently and independently meet expectations set forth in the performance plan as well as those Employees whose performance is clearly unsatisfactory and consistently fails to meet requirements and expectations.

Marginal performance requires substantial monitoring and close supervision to ensure progression toward a level of performance that meets expectations. Although these Employees are not currently meeting expectations, they may be progressing satisfactorily toward a Level 2 rating and need coaching/direction in order to satisfy the core expectations of the position.

The rating system will be used as follows:

Factor/Task Points		Percent of Accomplishment		Points Received for Factor/Task
<div style="border: 1px solid black; padding: 2px 10px; display: inline-block;">20</div>	X	<div style="border: 1px solid black; padding: 2px 10px; display: inline-block;">75%</div>	=	<div style="border: 1px solid black; padding: 2px 10px; display: inline-block;">15</div>
(Assuming employee accomplished 75% of the factor/task assigned to him/her.)				

Only those Employees who earn an *overall* Technical Factor/Task rating of 85 or greater and have one or less "Needs Improvement" core competency ratings are eligible for a Level 3 Recommendation. Therefore, Supervisors must outline the benchmark for Level 2 and may want to further identify how an Employee can achieve higher ratings within Level 2 for each factor/task, to promote Employee understanding and define the rating scale. Benchmark levels of performance within Level 2 must be measured by: quality, quantity, accuracy and timeliness. The total of all final points must be documented on the Summary Form (Page 3).

FACTOR/TASK 1 TITLE:**Factor/Task 1 Description:****Standard for a Benchmark Level 2:****Factor/Task 1 Points****X****Percent of Accomplishment****=****Final Points Received**Total of all factor weights cannot exceed 100.Percentage awarded must be based on 0% to 100% accomplished.Final points for this Factor/Task**EVALUATION COMMENTS:** Not required for employees meeting Level 2 expectations. Justification is required when employees receive Level 1 ratings for any goal.

(Use additional sheet if necessary)

FACTOR/TASK 2 TITLE:**Factor/Task 2 Description:****Standard for a Benchmark Level 2:****Factor/Task 2 Points****X****% of Accomplishment****=****Final Points Received**Total of all factor weights cannot exceed 100.Percentage awarded must be based on 0% to 100% accomplishedFinal points for this Factor/Task.**EVALUATION COMMENTS:** Not required for employees meeting Level 2 expectations. Justification is required when employees receive Level 1 ratings for any goal.

(Use additional sheet if necessary)

FACTOR/TASK 3 TITLE:**Factor/Task 3 Description:****Standard for Benchmark Level 2:****Factor/Task 3 Points****% of Accomplishment****Points Received****X****%****=**Total of all factors cannot exceed
100.Percentage awarded must be based on
0% to 100% accomplished.

Final points for this Factor/Task

EVALUATION COMMENTS: Not required for employees meeting Level 2 expectations. Justification is required when employees receive Level 1 ratings for any goal.

(Use additional sheet if necessary)

FACTOR/TASK 4 TITLE:**Factor/Task 4 Description:****Standard for Benchmark Level 2:****Factor/Task 4 Points****% of Accomplishment****Points Received****X****%****=**Total of all factors cannot exceed
100.Percentage awarded must be based on
0% to 100% accomplished.

Final points for this Factor/Task

EVALUATION COMMENTS: Not required for employees meeting Level 2 expectations. Justification is required when employees receive Level 1 ratings for any goal.

(Use additional sheet if necessary)

FACTOR/TASK 5 TITLE:**Factor/Task 5 Description:****Standard for a Benchmark Level 2:****Factor/Task 5 Points****X****Percent of Accomplishment****=****Points Received**Total of all factors cannot exceed
100.Percentage awarded must be based on
0% to 100% accomplished.

Final points for this Factor/Task

EVALUATION COMMENTS: Not required for employees meeting Level 2 expectations. Justification is required when employees receive Level 1 ratings for any goal.

(Use additional sheet if necessary)

FACTOR/TASK 6 TITLE:**Factor/Task 6 Description:****Standard for a Benchmark Level 2:****Factor/Task 6 Points****X****Percent of Accomplishment****=****Points Received**Total of all factors cannot exceed
100.Percentage awarded must be based on
0% to 100% accomplished.

Final points for this Factor/Task.

EVALUATION COMMENTS: Not required for employees meeting Level 2 expectations. Justification is required when employees receive Level 1 ratings for any goal.

(Use additional sheet if necessary)

FACTOR/TASK 7 TITLE:**Factor/Task 7 Description:****Standard for a Benchmark Level 2:****Factor/Task 7 Points****X****Percent of Accomplishment****=****Points Received**Total of all factors cannot exceed
100.Percentage awarded must be based on
0% to 100% accomplished.

Final points for this Factor/Task

EVALUATION COMMENTS: Not required for employees meeting Level 2 expectations. Justification is required when employees receive Level 1 ratings for any goal.

(Use additional sheet if necessary)

FACTOR/TASK 8 TITLE:**Factor/Task 8 Description:****Standard for a Benchmark Level 2:****Factor/Task 8 Points****X****Percent of Accomplishment****=****Points Received**Total of all factors cannot exceed
100.Percentage awarded must be based on
0% to 100% accomplished.

Final points for this Factor/Task.

EVALUATION COMMENTS: Not required for employees meeting Level 2 expectations. Justification is required when employees receive Level 1 ratings for any goal.

(Use additional sheet if necessary)

LEVEL 3 RECOMMENDATION SECTION

Supervisors/Reviewers must only use this form for Level 3 Recommendations. Level 3 ratings represent consistently exceptional and documented performance or consistently superior achievement beyond the expected assignment as identified within their position description. Employees make exceptional contribution(s) that have a significant and positive impact on the performance of the unit or the organization and may materially advance the mission of the organization. The Employee provides a model for excellence and helps others to do their jobs better. Peers, immediate supervision, higher-level management and others can readily recognize such a level of performance.

Please outline how the individual's job performance this past year meets the definition in the preceding paragraph to qualify this Employee for a Level 3 award. Be specific. As a supervisor, you should enumerate extraordinary accomplishments or performance above those listed as duties in their position description. Such indicators could be: special assignments/projects that the individual took upon his or her own or accepted and accomplished above their normal assignments and/or were significant to the organization; or an individual's innovation which improved processes and/or saved DMVA money (unless saving money is an inherent part of the assignment). The contribution should be easily recognizable as a Level 3 achievement. If this section is not adequately completed, a Level 3 award cannot be considered. (Two or more Core Competency factors rated as "Needs Improvement" and/or a Technical Factor rating of 84 or below will preclude an Employee from eligibility for a Level 3 Recommendation.)

Employee Name:

This recommendation is for: ☐ Performance (i.e. consistently exceptional performance that has a significant/positive impact on the performance of unit/organization)
☐ Achievement (i.e. innovation, beyond regular assignment, advanced mission of the organization)

Please describe how this achievement was extraordinary or what was done consistently and beyond the regular assignment to achieve a Level III:

How and why is this outside the scope of the position or beyond the regular assignment?

Did this assignment require additional time outside the normal work hours? If so, please explain.

What benefit did this have to DMVA in terms of time, dollars, and/or results?

If this employee did not perform this function, who would assume the responsibility and/or what would the impact be to the agency had he/she not completed the function or task?

Has this person received funds or awards (i.e. acting pay) to perform this added assignment? If so, when?

Employee Dispute Resolution Process

4-1. General

Personnel Procedures P8-13 through 18 provide for a two-staged review process for Performance Management disputes: internal and external. Employees may not grieve or appeal their performance plan or rating, but they may request a review. Employees may dispute their individual performance plan, including lack of a plan during the planning cycle; their individual performance evaluation; lack of a performance evaluation; the application of DMVA's Performance Pay Plan to the individual employee's plan and/or evaluation; and, full payment of the award. Employees may not dispute the content of DMVA's Implementation Plan; matters related to the funds appropriated; the performance evaluations and awards of other employees; and, the amount of a performance award, including whether it is base or non-base building, any combination or none, unless the issue involves the application of DMVA's Performance Management Plan. Retaliation against any employee involved in the dispute resolution process is prohibited. A description of the internal dispute resolution process, including timelines and name or position of the appointing authority, shall be given to employees annually at the time of evaluation.

4-2. Internal Process

Employees are encouraged to resolve reviewable issues at the lowest level possible and in a timely fashion. Formal internal review procedures are as follows:

- a. All requests for review must be in writing. Only the issue(s) as originally presented in writing shall be considered throughout the process.
- b. The request must be within five (5) working days of the event giving rise to the request for review (e.g. the final evaluation decision), including the day the disputable event occurred.
- c. The request should be sent to the DMVA State Personnel Director, who will immediately give it to the Appointing Authority for determination or delegation. All employees must be notified of the authorized decision-maker for their disputes.
- d. The Appointing Authority, or designee, shall meet with the employee and supervisor within five (5) working days of receipt of the request unless this time frame is waived by both parties due to situations beyond their control (deployment, pre-arranged vacations, etc.) The employee does not have an absolute right to legal representation, but may have an advisor present. A co-worker would not be considered an advisor. The employee is expected to represent and speak for him or herself. Only issues addressed in the original written request may be discussed.
- e. The Appointing Authority or designee will make a final written decision within three (3) working days of the meeting, and are authorized to instruct the supervisor to: follow DMVA's implementation plan; correct an error; or reconsider a performance evaluation or agreement, if appropriate. Mediation may be recommended. Their authority is limited to reviewing the facts within the limits of this implementation plan. They may not substitute their judgment for that of the supervisor. They may not render a decision that would alter the implementation plan. The decision should be sent to the supervisor, with a copy to the employee and the DMVA State Personnel Office.
- f. Based on consideration of the recommendations received, the supervisor should then make a final decision within five (5) working days and advise the employee of that decision.
- g. The completion of the internal stage of the dispute resolution process for issues disputable at the external stage (Personnel Director), the employee will be advised in writing of the deadlines and address for filing with the Director. Such notice will include the requirement that they must attach a copy of the original written dispute and the Department's final decision. This decision is final and binding relative to issues involving an individual agreement or evaluation.

4-3. External Process

- a. Only the original issues involving the application of this implementation plan to the individual agreement and/or evaluation or full payment of an award are reviewable outside DMVA. The employee must send a written request for review to the State Personnel Board at 633 17th Street, Suite 1320, Denver, CO 80202, within five (5) working days of receipt of the final decision by DMVA if they wish to pursue the matter further. The request must include copies of the original issues and the final decision of the Department.
- b. The State Personnel Director or designee shall select a qualified neutral third party to review the issues presented. The neutral third party has 30 days to issue a written decision that is final and binding.
- c. Only issues originally presented in writing shall be considered throughout the dispute resolution process.